

**UNITED STATES DISTRICT COURT  
FOR THE DISTRICT OF VERMONT**

SCOTT TRAUDT,

Plaintiff,

v.

ARI RUBINSTEIN, GTS SECURITIES  
LLC, GTS EQUITY PARTNERS LLC,  
GTS EXECUTION SERVICES LLC,  
CHARLES W. SCHWAB AND CO. INC.,  
SCHWAB HOLDINGS, INC., FINANCIAL  
INDUSTRY REGULATORY AUTHORITY,

Defendants,

CASE NO. 2:24-cv-782

**DECLARATION OF JOHN P. MITCHELL**

I, John P. Mitchell, declare as follows:

1. I am an attorney at law admitted pro hac vice to practice before the United States District Court for the District of Vermont in the above-captioned matter. I am a partner with the law firm of Faegre Drinker Biddle & Reath LLP, and am counsel for Defendant Financial Industry Regulatory Authority, Inc. (“FINRA”). The facts set forth herein are of my personal knowledge, and if called to testify, I could and would competently testify as set forth herein.

2. This declaration is being submitted in support of FINRA’s Motion to Quash.

3. Attached hereto as **Exhibit A** is a true and correct copy of the subpoena that Plaintiff Scott Traudt send to me via email on April 2, 2025.

I, John P. Mitchell, declare under penalty of perjury that everything I have stated in this document is true and correct to the best of my knowledge.

Dated: April 7, 2025

/s/ John P. Mitchell

John P. Mitchell (admitted *pro hac vice*)

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Regulatory Authority, Inc.*